

**STATEMENT UNDER 37 CFR 3.73(b)**Applicant/Patent Owner: UT-Battelle, LLCApplication No./Patent No.: 10/750,432Filed/Issue Date: 12/31/2003Entitled: Hybrid Spread Spectrum Radio SystemUT-Battelle, LLC

(Name of Assignee)

, a Corporation

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

- the assignee of the entire right, title, and interest; or
- an assignee of less than the entire right, title and interest  
(The extent (by percentage) of its ownership interest is \_\_\_\_\_ %)

in the patent application/patent identified above by virtue of either:

A.  An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel 015580, Frame 0868, or for which a copy therefore is attached.

**OR**

B.  A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as follows:

1. From: \_\_\_\_\_ To: \_\_\_\_\_

The document was recorded in the United States Patent and Trademark Office at  
Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

2. From: \_\_\_\_\_ To: \_\_\_\_\_

The document was recorded in the United States Patent and Trademark Office at  
Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

3. From: \_\_\_\_\_ To: \_\_\_\_\_

The document was recorded in the United States Patent and Trademark Office at  
Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

Additional documents in the chain of title are listed on a supplemental sheet.

As required by 37 CFR 3.73(b)(1)(i), the documentary evidence of the chain of title from the original owner to the assignee was, or concurrently is being, submitted for recordation pursuant to 37 CFR 3.11.

[NOTE: A separate copy (i.e., a true copy of the original assignment document(s)) must be submitted to Assignment Division in accordance with 37 CFR Part 3, to record the assignment in the records of the USPTO. See MPEP 302.08]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

/Judson R. Hightower/

Signature

11/6/2008

Date

Judson R. Hightower

Printed or Typed Name

865.576.3767

Telephone Number

IP Managing Attorney

Title

This collection of information is required by 37 CFR 3.73(b). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.



## UNITED STATES PATENT AND TRADEMARK OFFICE

UNDER SECRETARY OF COMMERCE FOR INTELLECTUAL PROPERTY AND  
DIRECTOR OF THE UNITED STATES PATENT AND TRADEMARK OFFICE

JANUARY 18, 2005

PTAS



\*102797617A\*

JOHN BRUCKNER, P.C.  
5708 BACK BAY LANE  
AUSTIN, TX 78739

### UNITED STATES PATENT AND TRADEMARK OFFICE NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 07/19/2004

REEL/FRAME: 015580/0868  
NUMBER OF PAGES: 4

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).  
DOCKET NUMBER: UBAT1110

ASSIGNOR:  
SMITH, STEPHEN F.

DOC DATE: 06/24/2004

ASSIGNOR:  
DRESS, WILLIAM B.

DOC DATE: 07/12/2004

ASSIGNEE:  
UT-BATTELLE, LLC  
OAK RIDGE NATIONAL LABORATORY  
111 UNION VALLEY ROAD, P.O. BOX  
2008  
OAK RIDGE, TENNESSEE 37831

SERIAL NUMBER: 10750432  
PATENT NUMBER:  
TITLE: HYBRID SPREAD SPECTRUM RADIO SYSTEM

FILING DATE: 12/31/2003  
ISSUE DATE:

SEDLEY PYNE, PARALEGAL  
ASSIGNMENT DIVISION  
OFFICE OF PUBLIC RECORDS



07-23-2004

Attorney Docket No.: **UBAT1110**

7-19-04

102797617

:T

attached original documents or copy

To the Honorable Commissioner for Patents  
thereof.

## 1. Name of Conveying party(ies):

**Stephen F. Smith**  
**William B. Dress**

Additional name(s) of conveying party(ies)  
 Attached?  Yes  No

## 2. Name and address of receiving Party(ies):

Name: **UT-Battelle, LLC**  
**Oak Ridge National Laboratory**  
**111 Union Valley Road**  
**P.O. Box 2008**  
**Oak Ridge, TN 37831**

Additional name(s) & address(es) attached?  
 Yes  No

## 3. Nature of conveyance:

**Assignment**  **Merger**  
 **Security Agreement**  **Change of name**  
 **Other:**

Execution Date: **June 24, 2004 and July 12, 2004**

## Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is:

A. Patent Application No.(s) **10/750,432**

B. Patent No.(s)

Additional numbers attached?  Yes  No

## 5. Name and address of party to whom correspondence concerning document should be mailed:

Name **Customer No. 38396**  
**JOHN BRUCKNER PC**  
**5708 Back Bay Lane**  
**Austin, Texas 78739**

6. Total number of Applications and patents involved: 17. Total fee (37 CFR 3.41).... **\$ 40.00**8.  **Enclosed**

## DO NOT USE THIS SPACE

## 9. Statement and signature.

*To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document*

*John B. Bruckner*  
 John B. Bruckner  
 Reg. No. 35,816

Date

**Certificate of Mailing Under 37 C.F.R. 1.8**

I hereby certify that this document is being deposited with the U.S. Postal Service as First Class Mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22312-1450 on July 15, 2004.

Total number of pages including cover sheet, attachments, and document: **4**

ATTORNEY DOCKET NO.  
UBAT1430

## **ASSIGNMENT TO UT-BATTELLE**

WHEREAS, I (we), the below-named inventor, **Stephen F. Smith and William B. Dress** whose residence and post office is (are) as stated below, have invented certain new and useful improvements in **HYBRID SPREAD SPECTRUM RADIO SYSTEM** for which an application for United States Letters Patent was filed on December 31, 2003 and accorded U.S. Serial No. **10/750,432** and

WHEREAS, UT-Battelle, LLC, a limited liability company of the State of Tennessee, having an office at Oak Ridge National Laboratory, Bethel Valley Road, P.O. Box 2008, Oak Ridge, Tennessee 37831-6255, hereinafter called the ASSIGNEE, is desirous of acquiring the entire right, title and interest in the application and invention and to any Letters Patent that may be granted therefor in the United States of America and in any and all foreign countries. (Agents of ASSIGNEE are authorized to fill in blanks and make corrections in this document).

NOW THEREFORE, for good and valuable consideration, the receipt of which is hereby acknowledged, I (we) hereby assign to ASSIGNEE the entire right, title and interest in the application and the invention, to all rights of priority thereto pursuant to the International Convention for the Protection of Industrial Property, and in any Letters Patent on the invention that may be granted in the United States of America and in any and all foreign countries, including any and all Letters Patent that are divisions, reissues, continuations, substitutions or extensions of any Letters Patent or applications therefor on the invention.

I (we) hereby authorize and request the Commissioner of the United States Patent and Trademark Office and the officials of any and all foreign countries to issue any and all of said Letters Patent, when granted, to the ASSIGNEE.

Further, I (we) hereby agree to communicate to said ASSIGNEE or its representatives any facts known to us respecting said invention, to testify in any legal proceedings, sign all lawful papers, execute all divisional, continuation, substitution, renewal and reissue applications, to execute all necessary assignment papers to cause any and all of said Letters Patent to be issued to said ASSIGNEE, and to make all rightful oaths and generally do everything possible to aid said ASSIGNEE and its representatives to obtain and enforce proper protection for said invention in the United States of America and in any and all foreign countries.

ATTORNEY DOCKET NO.  
UBAT1110

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I (we) further agree that the terms, covenants and conditions of this assignment shall inure to the benefit of ASSIGNEE, its successors, assigns, and legal representatives, and shall be binding on me (us), our heirs, legal representatives, and assigns.

Name of First Inventor:

Stephen F. Smith

Signature:

*Stephen F. Smith*

Date:

June 24, 2004

Citizenship:

United States of America

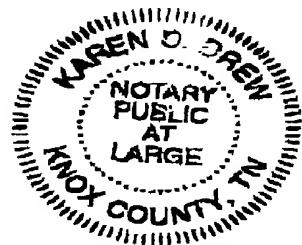
Residence Address:

550 Pickle Road  
London, TN 37774State of  
County of

On this 24<sup>th</sup> day of June, 2004, before me, a Notary Public in and for the County and State aforesaid, appeared Stephen F. Smith, to me personally known to be the same person whose name is subscribed to the foregoing instrument, and acknowledged that he executed said instrument as his free and voluntary act and for the uses and purposes therein expressed.

WITNESS my hand and seal the day and year last above given.

SEAL



*Karen D. Green*  
Notary Public

My commission expires  
April 1, 2006

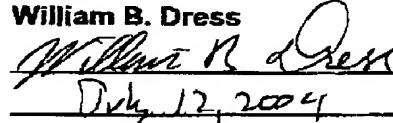
ATTORNEY DOCKET NO.  
UBAT1110

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Name of Second Inventor:

William B. Dress

Signature:



William B. Dress

Date:

July 12, 2004

Citizenship:

USA

Residence Address:

1539 NW Lacamas Drive  
Camas, WA 98607

State of  
County of

On this \_\_\_\_\_ day of \_\_\_\_\_, 2004, before me, a Notary Public in and for the County and State aforesaid, appeared William B. Dress, to me personally known to be the same person whose name is subscribed to the foregoing instrument, and acknowledged that he executed said instrument as his free and voluntary act and for the uses and purposes therein expressed.

WITNESS my hand and seal the day and year last above given.

SEAL

Notary Public